



STATE OF ARIZONA
DIVISION OF EMERGENCY
MANAGEMENT



RECOVERY SECTION

STANDARD OPERATING PROCEDURES

PUBLIC ASSISTANCE PROGRAM

SECTION 12

PROJECT MONITORING
&
CASE MANAGEMENT

Rev 5/08



**STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT
PUBLIC ASSISTANCE PROGRAM**



STANDARD OPERATING PROCEDURES

PROJECT MONITORING

I. OVERVIEW

Project Monitoring begins when a disaster occurs and does not end until an applicant has received final payment for all projects. Good project monitoring ensures successful recovery from the disaster, timely payment of funds, and more efficient closeout process of PA Program grants.

Under Title 8, Emergency and Military Affairs, Chapter 2. Department of Emergency and Military Affairs Division of Emergency Management Supp.03-1, which details the state's authority to provide this assistance and as defined by FEMA in Title 44 of the Code of Federal Regulations (CFR), Section 13.40 (44CFR§13.40) Grantees (States) are responsible for managing the day-to-day operations of grant and subgrant supported activities. ADEM's Recovery Section, Public Assistance Program is responsible for monitoring grant and subgrant supported activities to ensure compliance with applicable State and Federal requirements and to validate that performance goals are being achieved.

The project monitoring process flows into the Final Inspection process. If you are consistent with your applicants and monitoring their projects you will essentially lead them into the final inspection process and they will be more than prepared as you will have discussed the following process with them and they will have all items ready for final inspection, financial review and audit.

II. ALL PROJECTS

Ensure the applicant is aware that they are to comply with the Clean Water Act, Clean Air Act, Endangered Species Act, National Historic Preservation Act, Fish and Wildlife Coordination Act, related Federal Statutes, associated State, Tribal and Codes, Ordinances, and Other Statutes.

Advise the applicant that the approved "scope of work" is to be completed satisfactorily, as written. Any necessary/requested changes are to be submitted in writing to the Public Assistance Program Manager.

Review with the applicant the following documented costs to ensure that they have captured all costs incurred and determine if they are ready for final financial review and audit:

- Cost documentation to determine eligibility and make sure they have captured all costs incurred.
- Time cards for employee that include the following information: name, date, hours (regular and overtime).
- Equipment usage information that documents the following: daily use, make and model number, date, hours used, mileage.
- Materials used, applicant stocked material, purchased material, date, location where used, description, quantity, cost, invoice showing cost incurred and payment of invoice.
- Contract information that includes request for bid, bid documents, engineer's estimate, change orders, inspector's daily log, invoice and payment of invoice.

Applicants will need to provide their financial cost documents by project. We recommend that they sort and file all documents related to each project in a single file. All project files for a single disaster should be kept together plus all correspondence, financial reimbursements, agreements, etc, be included in the disaster file.

III. SMALL & LARGE PROJECTS

The State of Arizona treats all projects the same in that all eligible costs expended are reviewed, validated, audited and reimbursed in accordance with Title 8, Emergency and Military Affairs, Chapter 2. Department of Emergency and Military Affairs Division of Emergency Management Supp.03-1.

As defined by FEMA in Title 44 of the Code of Federal Regulations (CFR), there is a dollar threshold established that defines small and large projects. Small projects are largely based on estimates. If there is an overall cost overrun for all small projects, the applicant can appeal for those additional costs. Large projects are treated on a project by project basis. Eligible costs expended, reviewed, validated will also be subject to audit and will be reimbursed in accordance with the disaster declaration guidelines and agreement.

PACs need to schedule a site visit each quarter to determine if performance goals are being achieved, the "scope of work" approved is being met and determine the project costs incurred on any large projects for the quarter.

Prepare Large Project Quarterly Report stating the percentage of the project that has been completed and the cost expended to date. Report any change in the schedule as well as a brief update/current status of the project

IV. DEBRIS PROJECT MONITORING

See Section 9 – Debris Management for specific information relating to monitoring of Debris Removal or Recycling projects.



**STATE OF ARIZONA
DIVISION OF EMERGENCY MANAGEMENT
PUBLIC ASSISTANCE PROGRAM
STANDARD OPERATING PROCEDURES**



**CASE MANAGEMENT FILE
(CMF)**

I. OVERVIEW

A Case Management File (CMF) is created to record contact activities with Public Assistance Applicants, i.e., meetings, conversations, and other significant actions. The information is documented and recorded within the applicant file. The Public Assistance Coordinator (PAC) (or their designee) is responsible for maintaining the information in the CMF. Good documentation and recording of activities allows others to gain knowledge about the history of projects. This historical data is critical especially when transitioning coordinators or just bringing others up to speed as to current status of an applicant.

State declarations require this information to be recorded on Case Management Contact Log Forms (examples included) and filed within the applicant file for the appropriate disaster. For federal declarations, the information is also recorded on a Case Management Contact Log Form. A hard copy is placed in the applicant file and the information is entered into the Case Management Log in NEMIS. The hard copy log form is to be provided to the Public Assistance Program Manager for review and recording to the applicant disaster file.

II. NEIMIS "CMF" ELECTRONIC ENTRY

CASE MANAGEMENT FILE - DISASTER #6264

Applicant Id: 015-01300-00
Applicant Name: ALFALFA
Subdivision Name:

Applicant Info | Contact Log | Address Book | Kick Off Meeting | Project Status | Large Projects | Validation | General Comment

Applicant Agent: ALFALFA HELP
(Last Name, First Name)

Kick Off Meeting Date: 12/10/1999

Applicant Liaison: NONE
(Last Name, First Name)

Date Request Received: 11/10/1999

INF Requested: ☒

Kick Off Meeting Location: 917 South Washington Street, Haysville, LA

Applicant Briefing Date: 11/10/1999

INF Amount: \$20,000.00

County Name: CAJADO

Designated Date: 06/15/1999

Date INF Requested: 11/10/1999

Date INF Obligated: 11/25/1999

Save

Applicant Info Screen / CMF

The Applicant Info screen is for general information about the applicant. Some of the information will autofill from the Request for Public Assistance (RPA) when it is initially saved in the NEMIS system.

Directions: The following are field descriptions for the Applicant Info Screen.

Applicant AgentAuto filled from REPRESENTATIVE I Field of the Request for Public Assistance (RPA).

KICK OFF MEETING DATEEnter mmddyyyy of Kick-Off Meeting date – Do not add dashes.

APPLICANT LIAISONEnter name of Applicant Liaison. Enter NONE or UNKNOWN if there is no Liaison or the name of the Liaison is not yet known.

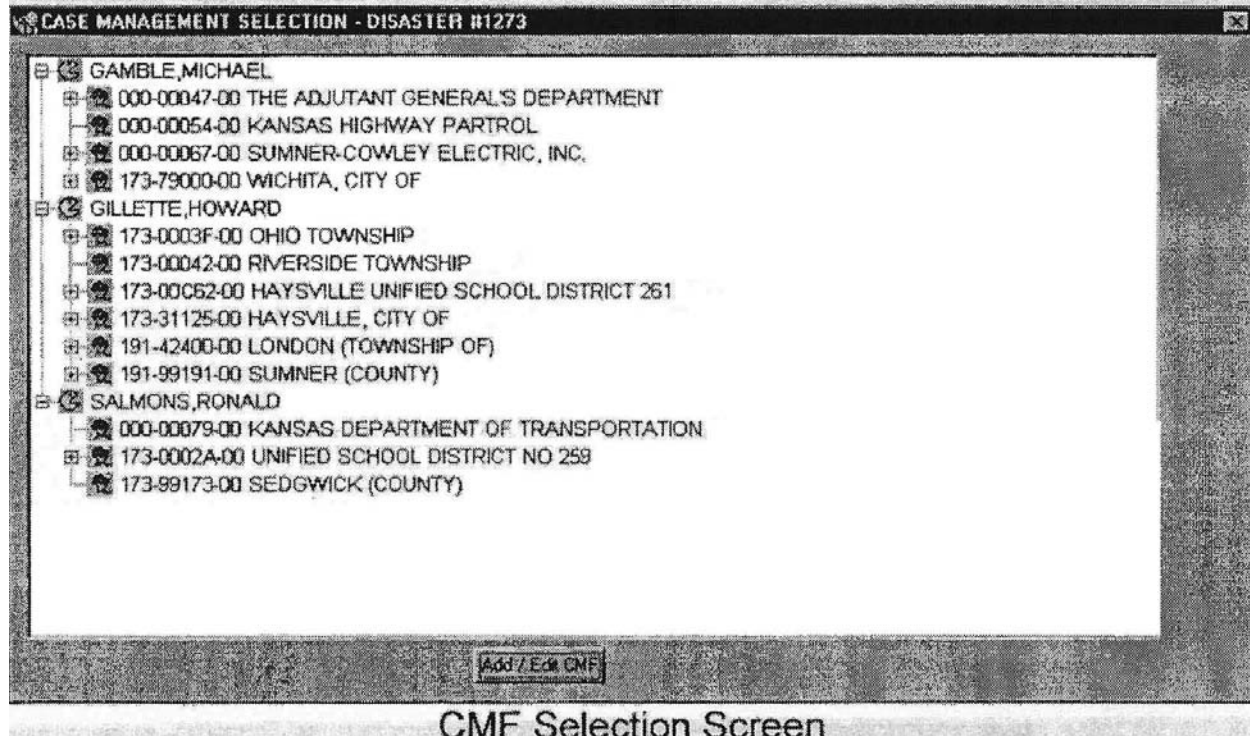
*INF REQUESTEDClick the mouse once in this field to put a (checkmark) in the box if immediate Needs Funding (INF) has been requested for this applicant.

APPLICANT BRIEFING DATEEnter mmddyyyy of Applicant Briefing Date – Do not add dashes.

For more information refer to Infrastructure Support User Manual and Procedure Guide (Version II, MR1)



Directions: To use the “Case Management File” screens, follow these steps.

1. On the **“NEMIS Main”** screen, select **“Infrastructure”**
2. Select **“RPA”** and then **“Case Management Files”** on the pull-down menu to open the Case Management File.
3. The initial screen will appear once user opens the Case Management File menu option:




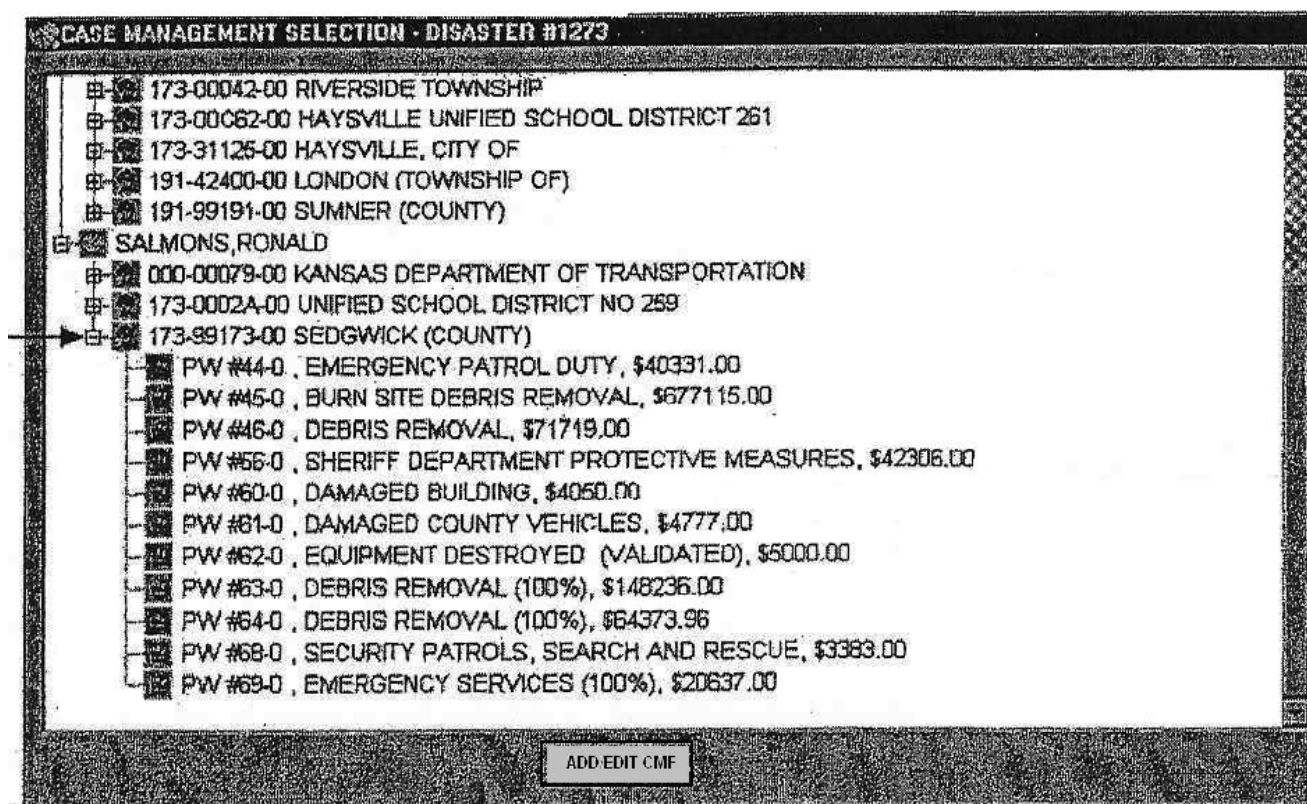
IMPORTANT: The Kick-Off Meeting date (Applicant Information Screen) must be entered in order for the Applicant's PWs to save and route out of Initial PW Review. Enter Kick-Off Meeting date before entering any PW's for the applicant.

Taken from the Infrastructure Support User Manual and Procedure Guide (Version II, MR1)

4. As the **Requests (RPAs)** are saved with the PAC's name, the Applicant's CMF record will automatically be created and show under the PAC's name as seen on the screen below.
5. To display the Applicants assigned to a PAC, click on the  button to the left of the PAC's name, and the applicants that have been assigned will appear.
6. Click **ONCE**, on a particular applicant, then click on the  Button and the Case Management File "Applicant Info" screen will open.

Note: Double-click on a particular applicant to "View" the Request for Public Assistance (RPA).

To display the PWs written for an Applicant, click on the  button to the left of the Applicant's name, and the PWs will appear.



PWs Displayed On Main Case Management File Selection Screen

SUMMARY OF CASE MANAGEMENT FILE TABS

The following screens are available in each Case Management File:

APPLICANT	This screen contains general information about the Applicant such as: Applicant's Agent, County, Applicant Briefing Date, Kick-Off Meeting date and INF information (if any)
CONTACT LOG	Historical data containing information about conversations, phone calls, and meetings between the PAC and the applicant.
ADDRESS BOOK	Stores names, addresses and phone numbers for the applicant and other persons who are important for reference purposes
KICK-OFF MEETING	Stores the names and titles for persons who attended the Applicant's Kick-Off meeting for historical purposes
PROJECT STATUS	Displays projected and actual information about the Applicant's projects
LARGE PROJECTS	Displays all the Applicant's Large Projects for view only
VALIDATION	Displays Validation Batch Processor information about the Applicant
GENERAL COMMENTS	A free form entry screen that stores the narrative information about the Applicant INF AMOUNT. Enter the INF, (Immediate Needs Funding) amount, if INF has been requested. Otherwise, leave blank.
KICK-OFF MEETING LOCATION...	Enter the location (address) where the Kick-Off Meeting was/will be held. The City and state should be entered.
COUNTY NAME	Auto filled from the Request for Public Assistance, (RPA)
DESIGNATED DATE	The Date the county is "designated" (Declared).

DATE INF REQUESTED Auto filled by NEMIS. Date INF PW requested
(Date of 1st INF PW)

DATE INF OBLIGATED Auto filled by NEMIS. Date INF obligated in NEMIS.

Be sure to click on "SAVE" button after any changes on any screen

*NOTE: FOR ADDITIONAL SCREENS/EXAMPLES GO TO FEMA'S PAC PROCEDURES
MANUAL FOR "PUBLIC ASSISTANCE OPERATIONS II", (E 382).*

III. NEMIS "GENERAL COMMENTS " Electronic entry

Entering "GENERAL COMMENTS" INTO NEMIS AND DIRECTLY TO AN APPLICANTS
INDIVIDUAL PROJECT WORKSHEET by FOLLOWING these procedures:

- **ACCESS NEMIS**
- **CLICK ON " INFRASTRUCTURE "**
- **SELECT " STATE FUNCTION "**
- **SELECT " SPECIAL PW FUNCTION "**
- **SELECT " THE CORRECT APPLICANT"**
- **SELECT THE WORKSHEET OR PW**
- **SCROLL TO " GENERAL COMMENTS "**

Scroll to the bottom of the comments screen and double-click in the text box. Begin
typing your comments on this screen. **"Save"** before closing the screen.

IV. " FILLABLE FORMS" (ELECTRONIC ENTRY)

CASE MANAGEMENT CONTACT LOG

Applicant			
Subject			
<u>Contact Date</u>	<u>Contact Type</u>	<u>Call Type</u>	<u>All Issues Resolved</u>
	Phone Call – Meeting – Kickoff Meeting – Fax – Memo –	Incoming – Outgoing –	Yes – No –
<u>Applicant Contact</u>		<u>State Representative</u>	
First Name:		First Name:	
Last Name:		Last Name:	
Title:		Phone #:	
Phone #:		<u>County:</u>	

Items Discussed:
Action Required:
Resolutions:
Submitted By:

Note: Send completed form to the Deputy Chief for Recovery for review and a copy to the Financial Assistant for Recovery who will enter it into the Case Management Log.

This form is located on the network AT "I:\Recovery\PA Branch\FORMS\ADEM Forms\Fillable Forms\Blank Case Management Log"

Example

CASE MANAGEMENT CONTACT LOG

Applicant	TOWN OF JEROME		
Subject	STROM 1581, ROAD DAMAGE F.I.R. (Nelly Bly Lane) FEMA #207		
WEDNESDAY JUNE 6, 2007	Contact Type	Call Type	All Issues Resolved
	Phone Call – Meeting –X Kickoff Meeting – Fax – Memo –	Incoming –N/A Outgoing –N/A	Yes – No – X
Applicant Contact	State Representative		
First Name:	SEE LIST OF ATTENDEES BELOW		
Last Name:	First Name: Dennis		
Title:	Last Name: Erickson		
Phone #:	928-634 - 7943		

Items Discussed:

1300 HOURS SET TO REVIEW COMPLETED ROAD PROJECTS WITH REPRESENTATIVES OF THE TOWN OF JEROME:
ATTENDEES:

MAYOR BOB BOUWMAN, VICE MAYOR JANE MOORE, TOWN CLERK BALT LOZANO, CONTRACTOR PHIL TOVREA, AND MYSELF DENNIS ERICKSON.

IN A PRE-MEETING IT WAS EXPLAINED TO ME THAT SEVERAL HOMEOWNERS ALONG NELLY BLY LANE WERE CONCERNED WITH THE WORK THE CONTRACTOR HAD DONE. WE DROVE TO THIS LOCATION FIRST. UPON ARRIVAL, THE CONTRACTOR WAS EXPLAINING HOW HE HAD IMPROVED THE DRAINAGE BY MOVING ROCKS AND OTHER MATERIAL IN THE GULCH WASH. I ASKED HIM IF HE HAD TALKED WITH THE CORP OF ENGINEERS ABOUT THIS OR HAD HE OBTAINED A PERMIT TO WORK OUTSIDE OF THE TOWNS RIGHT OF WAY. HE SAID HE HAD NOT BUT SAID HE HAD DISCUSSED IT WITH THE TOWNS INSPECTOR, (GIL ROBINSON), AND HE SAID IT WAS OK. WE WALKED THE ENTIRE 360 LF AS DISCRIBED IN THE SCOPE OF WORK AND FOUND A LOT OF WORK THAT APPEARED TO ME TO BE DRAINAGE WORK OUTSIDE OF THE ROAD RIGHT OF WAY. I ASKED THE MAYOR HOW MUCH R/W THEY HAD IN THIS AREA. HE DID NOT KNOW SPECIFICALLY BUT SAID THEY DID HAVE WELL DEFINED R/W BECAUSE OF A UTILITY INSTALLATION A FEW YEARS BACK.

I EXPLAINED MY CONCERNS TO THE GROUP AND ASKED THE TOWN REPRESENTATIVES TO MAKE SURE THAT ANY FUTURE FEMA FUNDED ROAD PROJECTS STAY WITH IN THE EXISTING FOOT PRINT OF THE ROADWAY AND THAT THE INTENT WAS TO JUST RESTORE THE ROADS BACK TO PRE-DISASTER CONDITION. VICE MAYOR JANE MOORE SHARED WITH ME A COUPLE OF THE LETTERS THAT THE TOWN HAD RECEIVED FROM HOME OWNERS WHO WERE CONCERNED ABOUT THE CONTRACTOR WORKING IN GULCH WASH AND THE REMOVAL OR DAMAGE TO SOME TREES. (I RECEIVED COPS OF FIVE LETTERS FROM THE HOMEOWNERS.)

WE PROCEEDED TO ALLEN SPRINGS ROAD AND THAT WORK APPEARED TO ALL BE WITHIN THE ROADWAY FOOTPRINT AND NO WORK WAS DONE OUTSIDE THE SCOPE OF WORK. OK ON THIS ONE.

LAST OF ALL WE WALKED THE 1500 LF OF GULCH ROAD AND DISCUSSED IN DETAIL THE SCOPE OF WORK. WE REMINDED THE CONTRACTOR REPEATEDLY THAT HE MUST, MUST, STAY WITHIN THE ROAD R/W. MAINTAIN THE DRAINAGE DIVERSIONS, (ASPHALT BERMS), PITCH THE ROAD APPROPRIATELY, POINTED OUT SOME SENSITIVE AREAS. WE ALSO SHOWED HIM WHERE THE 300 LF OF DRAINAGE DITCH DESCRIBED IN THE S.O.W. WAS AND TO MAKE SURE TO MAINTAIN THIS DRANAGE. (HE HAD ALREADY DONE SOME PRELIMINARLY WORK ON THE DRAINAGE DITCH). I PERSONALLY REMINDED THE CONTRACTOR TO MAKE SURE HE GETS A BLUE STAKE AS THERE WERE EXPOSED UNTILITIES IN THE ROAD WAY AS WELL AS GAS LINE MARKERS PRESENT.

Action Required:

1. TOWN OF JEROME WILL COMMUNICATE BACK TO THE CONCERNED HOMEOWNERS REGARDING NELLY BLY LANE AND SHARE WITH THEM THE SCOPE OF WORK THAT WAS PLANNED.
2. BALT LOZANO WAS TO RESEARCH THE NOTICE TO PROCEED DOCUMENT TO FIND OUT WHAT THE CONSTRUCTION SCHEDULE END DATE WAS.
3. ADEM, (DENNIS), FIND OUT IF THE TOWN NEEDS TO REQUEST ANOTHER EXTENSION SINCE THE CONTRACTOR FEELS IT WILL TAKE HIM SEVERAL MORE MONTHS TO FINISH THE BALANCE OF THE ROAD PROJECTS.
4. ADEM, (DENNIS), WILL CALL THE PHOENIX ADEM OFFICE AND GIVE THEM A VERBAL HEADS UP ABOUT THE POTENTIAL ENVIRONMENTAL ISSUES OBSERVED IN THE FIELD AND FORWARD COPS OF THE FIVE LETTERS FROM THE HOMEOWNERS TO THE PHOENIX ADEM OFFICE.

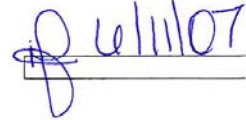
Resolutions:

TOWN OF JEROME ACTION ITEMS ARE ON GOING.

ADEM, (DENNIS), ACTION ITEMS COMPLETED. DENNIS CALLED AND SPOKE TO WENDY (6-6-07) AND THEN PLACED IN THE MAIL TO HER THE FIVE LETTERS OF CONCERN FROM THE LOCAL HOMEOWNERS.

ADEM, (DENNIS), STILL NEEDS TO RESEARCH THE EXTENSION ISSUE ONCE THE TOWN OF JEROME LETS HIM KNOW WHAT THE CONTRACT (NOTICE TO PROCEED) DATES ARE. (BALT TO CALL ME ON FRIDAY).

Submitted By Dennis Erickson

A handwritten signature in blue ink, appearing to read "Dennis Erickson", is written over a horizontal line.

V. **"BLANK FORM " FILLED OUT BY HAND**

Case Management Contact Log

Applicant: _____

Subject: _____

Contact Date: _____ **Contact Type:** ☐ Phone Call **Call Type:** ☐ Incoming

All Issues Resolved: ☐ Yes ☐ Kickoff Meeting ☐ Outgoing

☐ No

☐ Fax

☐ Memo

Contact:

State Representative

First Name _____ First Name _____

Last Name _____ Last Name _____

Title _____

Phone # _____ County _____

Items Discussed: _____

Actions Required: _____

Resolutions: _____

EXAMPLE

Case Management Contact Log

APPLICANT: LA PAZ COUNTY PUBLIC WORKS
Subject: PCA 26004 TO SET UP MEETING ON PW COST

Contact Date: TUE 1-10-06 1000 HRS Contact Type: Phone Call Call Type: Incoming
Meeting
Outgoing
All Issues Resolved: Yes
No
Kickoff Meeting
Fax
Memo

Contact: State Representative
First Name Tom First Name DENNIS
Last Name SIMMONS Last Name ERICKSON
Title INTERIM DIRECTOR
Phone # (928) 669-6407

Items Discussed: I CALLED TOM TO EXPLAIN MY CONTACTS WITH
MOHAVE EDUCATION SERVICES COOPERATIVE AS WELL AS MY CONTACT
WITH CENTENNIAL CONTRACTORS ENTERPRISES ON JAN 5 IN PRESCOTT
AND JAN 9 IN PHOENIX OFFICE. I EXPLAINED THE PURPOSE OF THE JAN 9TH
MEETING WAS TO GET "R.S. MEANS 101" TRAINING. WE USED "TAKE OFF POINT" AS
THE TOOL FOR RICK REIGEL & SCOTT REINER TO SHOW HOW THEIR PROPOSALS ARE
PREPARED.

Actions Required: AS A RESULT OF OUR REVIEW OF THIS PROPOSAL WE FOUND
SEVERAL DISCREPANCIES WHICH APPEARED TO INDICATE THAT THEIR
\$44,000 PROPOSAL MAY BE OVER STATED BY \pm \$25,000.
I ASKED TOM IF HE HAD SOME TIME TO MEET W/ CENTENNIAL,
AND MYSELF TO DISCUSS A COURSE OF ACTION REGARDING
THE CONTRACT #.

Resolutions: WE DISCUSSED SEVERAL DATES OF AVAILABILITY
AND ARRIVED AT FRIDAY, JANUARY 13TH AT 0930 HRS
IN TOM'S OFFICE IN PARKER.

OK